



**COUNTY OF LOS ANGELES
DEPARTMENT OF AUDITOR-CONTROLLER**

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July 13, 2010

TO: Supervisor Gloria Molina, Chair
Supervisor Mark Ridley-Thomas
Supervisor Zev Yaroslavsky
Supervisor Don Knabe
Supervisor Michael D. Antonovich

FROM: Wendy L. Watanabe
Auditor-Controller

SUBJECT: **UNITED AMERICAN INDIAN INVOLVEMENT, INC. CONTRACT
REVIEW – A DEPARTMENT OF MENTAL HEALTH SERVICE
PROVIDER**

We completed a program review of United American Indian Involvement, Inc. (UAI or Agency), a Department of Mental Health (DMH) service provider. The purpose of our review was to determine whether UAI provided the services and maintained proper documentation, as required by the County contract. Services include interviewing program clients, assessing their mental health needs, and developing and implementing a treatment plan.

DMH paid UAI on a cost-reimbursement basis between \$1.47 and \$3.51 per minute of staff time (\$88.20 to \$210.60 per hour) for services or approximately \$1 million for Fiscal Year 2008-09. The Agency's headquarters is located in the First District.

Results of Review

UAI maintained documentation to support the service minutes sampled and staff assigned to the County contract possessed the required qualifications. However, UAI did not complete some elements of the Assessments, Client Care Plans and Progress Notes in accordance with the County contract. Specifically:

- Fourteen (70%) of the 20 Assessments did not adequately describe the clients' symptoms and behaviors consistent with the Diagnostic and Statistical Manual of Mental Disorder (DSM) to support the given diagnosis.

UAIL's attached response indicates that all supervisors will review all intake assessments to ensure that all symptoms and behaviors are consistent with the DSM for the diagnosis given to the client.

- None of the 20 Client Care Plans contained specific goals as required by the County contract.

UAIL's attached response indicates that all supervisors will review each of their supervisee's Client Care Plans to ensure that goals contained are appropriate for the diagnosis given to the client and appropriately indicate progress toward the goals.

- Seven (28%) of the 25 Progress Notes billed for mental health services did not describe what the clients or service staff attempted and/or accomplished towards the clients' goals.

UAIL's attached response indicates that therapists will complete a Progress Note Checklist for all Progress Notes to monitor the content and quality of their Progress Notes.

We have attached the details of our review along with recommendations for corrective action.

Review of Report

We discussed the results of our review with UAIL and DMH. In the attached response, the Agency agreed with our findings and implemented quality assurance procedures to correct the weaknesses noted in this report. In addition, we have agreed to provide training to UAIL staff. The training will be specifically tailored to the findings in this report.

We thank UAIL management for their cooperation and assistance during this review. Please call me if you have any questions or your staff may contact Don Chadwick at (213) 253-0301.

WLW:MMO:JET:DC:EB

Attachment

c: William T Fujioka, Chief Executive Officer
Dr. Marvin J. Southard, Director, Department of Mental Health
Terri McAuliffe, Chair, Board of Directors, UAIL
Dr. David L. Rambeau, Executive Director, UAIL
Public Information Office
Audit Committee

**DEPARTMENT OF MENTAL HEALTH
UNITED AMERICAN INDIAN INVOLVEMENT, INC.
FISCAL YEAR 2008-09**

BACKGROUND/PURPOSE

The Department of Mental Health (DMH) contracts with United American Indian Involvement, Inc. (UAI or Agency), a private, non-profit, community-based organization that provides services to clients in Service Planning Area 4. Services include interviewing program clients, assessing their mental health needs, and developing and implementing a treatment plan.

The purpose of our review was to determine the appropriateness of the services UAI provided based on available documentation in accordance with the County contract. This included a review of the Agency's billings, participant charts, and personnel and payroll records. We also interviewed the Agency's staff.

BILLED SERVICES

Objective

Determine whether UAI provided the services billed in accordance with their County contract with DMH.

Verification

We selected 25 billings totaling 3,553 minutes from 79,030 service minutes of approved Medi-Cal billings for May and June 2009, which were the most current billings available at the time of our review (January 2010). We reviewed the Assessments, Client Care Plans and Progress Notes maintained in the clients' charts for the selected billings. The 3,553 minutes represent services provided to 20 program participants.

Results

UAI maintained documentation to support the service minutes sampled. However, the Agency did not always complete some elements of the Assessments, Client Care Plans and Progress Notes in accordance with the County contract requirements.

Assessments

UAI did not adequately describe the clients' symptoms and behaviors consistent with the Diagnostic and Statistical Manual of Mental Disorder (DSM) to support the given diagnosis for 14 (70%) of the 20 clients sampled on their Assessments. An Assessment is a diagnostic tool used to document the clinical evaluation of each client and establish the client's mental health treatment needs. The County contract requires Agencies to follow the DSM when diagnosing clients.

Client Care Plans

None of the 20 Client Care Plans contained specific goals as required by the County contract.

Progress Notes

UAI did not complete seven (28%) of the 25 Progress Notes sampled in accordance with the County contract. Specifically, the Progress Notes billed for mental health services did not describe what the clients or service staff attempted and/or accomplished towards the clients' goals.

Recommendation

1. **UAI management ensure that Assessments, Client Care Plans and Progress Notes are completed in accordance with the County contract.**

STAFFING LEVELS

Objective

Determine whether the Agency maintained the appropriate staffing ratios for applicable services.

We did not perform test work in this section, as the Agency did not provide services that require staffing ratios for this particular program.

Recommendation

None.

STAFFING QUALIFICATIONS

Objective

Determine whether UAI's treatment staff possessed the required qualifications to provide the services.

Verification

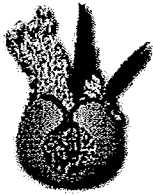
We reviewed the California Board of Behavioral Sciences' website and/or the personnel files for 14 of the 23 UAI treatment staff who provided services to DMH clients during May and June 2009.

Results

Each employee in our sample possessed the qualifications required to provide the services billed.

Recommendation

None.



United American Indian Involvement, Inc.

1125 West 6th Street, Suite 103 • Los Angeles, California 90017
Tel: (213) 202-3970 • Fax: (213) 202-3977

May 5, 2010

Department of Audit Controller Provider Audit

United American Indian Involvement Corrective Action Plan

Robert Sundance Family
Wellness Center
1125 West 6th Street, Suite 103
Los Angeles, CA 90017
Tel: (213) 202-3970
Fax: (213) 975-9255

- Inpatient/Outpatient
Alcohol/Drug/Mental Health
Employment Counseling
- Nutrition
- Senior Services
- Senior Living
- Positive Parenting
- Workforce Development
Program

Los Angeles American Indian
Health Project

Tel: (213) 202-3970
Fax: (213) 202-3977

- Health Screening/Case
Management
- Diabetes Program
- Immunization (Child/Adult)
- Health/Nutrition/Education

Los Angeles American Indian
Clubhouse

Tel: (213) 202-3976
Fax: (213) 202-3977

- Academic tutoring
- Recreational/Social Activities
- Computer Software Classes
- Counseling

Seven Generations Child and
Family Counseling Services/
System of Care

Tel: (213) 241-0979
Fax: (213) 241-0925

seven_generations@hotmail.com

- System of Care
- Child & Family Counseling
Crisis Interventions/Case
Management/Parenting
Training
- Domestic Violence
& Sexual Assault Counseling
- Child Abuse Treatment
Program
- Family Preservation
- Family Support

Fresno American Indian
Health Project

1535 E. Shaw Ave., Suite 105
Fresno, CA 93710

Tel: (559) 320-0490

Fax: (559) 320-0494

- Medical & Dental referral
- Youth Activities

Bakersfield American Indian
Health Project

1617 30th Street
Bakersfield, CA 93301

Tel: (661) 327-4030

Fax: (661) 327-0145

- Medical & Dental referral
- Youth Activities

www.uaii.org

Ms. Wendy L. Watanabe
Auditor-Controller
Kenneth Hahn Hall of Administration
500 West Temple Street, Room 525
Los Angeles, CA
90012-3873

Dear Ms. Wendy L. Watanabe:

Please find attached the Corrective Action Plan for United American Indian
Involvement, Inc. program review.

If any other information is needed I can be reached at 213 241-0979, ext. 7136.

Sincerely,

Carrie L. Johnson, Ph.D.



United American Indian Involvement, Inc.

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- Medical & Dental referral
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**Bakersfield American Indian
Health Project**

1617 30th Street
Bakersfield, CA 93301

Tel: (661) 327-4030

Fax: (661) 327-0145

- Medical & Dental referral
- Alcohol & Substance

Recommendation

1. UAII management ensure that Assessments, Client Care Plans, and Progress Notes are completed in accordance with the County Contract.

Corrective Action Plan:

1. UAII Supervisors currently attend Spa 4 Quality Improvement Committee meetings regularly. Dr. Sanchez-Brown is the Quality Assurance contact and helps to support agency's on-going improvement in documentation and will continue to facilitate and work with staff in order to improve documentation compliance with contract requirements
2. All Supervisors and Staff Therapists have been informed of Audit Controller findings. Supervisors will review all intake assessments to ensure that all symptoms and behaviors are consistent with the DSM-IV for the diagnosis given to the client.
3. All Supervisors will review each of their supervisee's CCCP's to ensure that Goals contained are appropriate to diagnosis given to the client, in SMART goal format, and appropriately indicate progress toward goals.
4. Current agency Quality Assurance procedures include the following:
 - a) Each staff therapist conducts a self-audit of one of their client charts on a monthly basis
 - b) Supervisors and Program Coordinators then conduct a monthly Peer Review of those Self-Audited charts – feedback is then given to the staff in supervision.
 - c) Therapists will complete a Progress Note Checklist on all progress notes written within a five day period each quarter. This Progress Note Checklist will allow staff to self monitor the content and quality of their progress notes written in that five day period.
5. UAII will receive training from County Wide Contract Monitoring Division specifically tailored to the Audit findings.